PART 1 - MAIL AND FILES

(Issued 02/00; Trans. No. 00-02)

LIST OF CHAPTERS

1-0100 - INTRODUCTION

Table of Contents

1-0100-1 Purpose and Scope

1. Purpose and Scope. This part of the FECA PM addresses the jurisdiction of cases and the movement of mail and case files within the district office (DO). It also discusses how to create, maintain, transfer and retire case files. A list of indexing abbreviations is found at Exhibit 1.

Related material can be found in FECA PM 2-0300, which discusses how to prepare responses to priority and routine correspondence; FECA PM 2-0400, which addresses file maintenance and management for claims staff; and FECA PM 2-0401, which describes status codes used in the automated system.

1-0100-2 Responsibilities

2. Responsibilities. Effective handling of mail and files requires cooperation within the DO. Responsibilities of the various units are as follows:

a. Mail Room Staff. Mail room staff process mail, make up and maintain physical case files, pull and deliver files to various locations, transfer cases as necessary, and retire closed files to the Federal Records Center. The Mail Room Supervisor prepares a timeliness report twice a year.

b. Automated System Support Staff. Systems support staff enter data, create case files on the automated system, and produce reports to support case processing. The System Manager trains the operators and supports all users of the automated system.

c. Claims and Other Staff. Personnel in claims and other units key location and status changes and forward each file to its next location. Only files with pending action are kept in the claims units or other units in the DO.

d. Managers. The District Director or Regional Director authorizes any local changes to the procedures described in these chapters needed because of variations in staff size or the number of claims handled.

1-0100-3 Contents of Part 1

3. Contents of Part 1. The chapters and their subjects are:

a. Chapter 1-0200, Jurisdiction. This chapter describes the jurisdictions of the 12 DOs which make up the Division of Federal Employees' Compensation.

b. Chapter 1-0300, Processing Mail. This chapter describes the kinds of mail which the DOs receive, and how to handle each kind. It also addresses sorting, recording,

and searching for mail. Finally, it describes how to process cash received and how to process outgoing mail.

c. Chapter 1-0400, Creation of Cases. This chapter describes the contents of new cases and how to create them.

d. Chapter 1-0500, Maintenance of Cases. This chapter describes how to maintain case files. It includes procedures for dividing file material, doubling cases, and repairing damaged folders. It addresses how to send cases out of the office and process them on return.

e. Chapter 1-0600, Transfer, Loan, and Retirement of Cases. This chapter describes how to send files from one DO to another, or to the National Office, on either a permanent or temporary basis. It also addresses retirement of closed case files to the Federal Records Center (FRC), and handling of cases retrieved from the FRC.

1-0100-4 Automated Systems Support

4. Automated Systems Support. The work of the Mail and File Unit is closely tied to the automated system support functions within the DO, and many of those functions are referenced in the chapters that follow. Specific instructions for using the system are set forth in the FECS Users Manuals.

a. Mail and File Staff. These individuals most often use the Query function, which allows the user to obtain case numbers (using Name Search, option 1, or Case Status Info, option 15, with the Social Security number) and case locations (using Case Search, option 2).

b. Data Entry Staff. These individuals, including Case Create Clerks, use the Case Management subsystem to perform a variety of tasks. The most commonly used options are:

01	Create	16	TPCUP
02	Change	19	Location Change
03	Name Change	20	Group Location Change
04	Address Change	21	Location/Status Change
05	Double/Duplicate	23	Department Change
06	CA-800 Print	24	Agency Change

07	Loan/Transfer	25	Organization
08	Delete	26	Central Case Add
09	Adjudication Status	27	Central Case Locate
14	Status Change	28	Central Case Request

Data entry staff also use the Retirement subsystem.

Exhibit 1 1-0100 x1 Indexing Abbreviations

INDEXING ABBREVIATIONS

Abdomen	ABD
About	ABT
Abrasion	ABR
Accepted	ACC
Account	ACCT
Acting	ACTG
Active	ACT
Administration	ADMIN
Administrator	ADM
Aeronautics	AERO
Afternoon	P.M.
Agency	AGCY
Agency for International Development	AID
Agriculture	AGRI
Agricultural Marketing Service	AMS
Agricultural Research Service	ARS
Air Force Base	AFB
Alley	ALY
American Red Cross	ARC
Amputate	AMP
Apartment	APT
Arms Control and Disarmament Agency	ACDA
Army Post Office	APO
Asbestosis	ASB
Assistant	ASST
Assistant District Director	ADD

Attendant	ATT
Avenue	AVE
Average	AVG
Beginning of business	BOB
Bill Pay Clerk	BPC
Boulevard	BLVD
Branch	BR
Branch of Hearings and Review	H&R
Bruise	BRU
Building	BLDG
Burden of proof	BOP
Bureau of Labor Statistics	BLS
Bureau of Old Age and Survivors Insurance (Social Security Administration)	BOASI
Bureau of Retirement & Insurance, Office of Personnel Management	BRI
Case Create Clerk	CCC
Case in transit to D. O.	CIT
Causal relationship	CR
Central Intelligence Agency	CIA
Circle	CIR
Civil Air Patrol	CAP
Civil Works Administration	CWA
Civilian Conservation Corps	CCC
Claimant Advocate Project	CAP
Claims Branch	CLBR
Claims Examiner	CE
Clerk	CLK
Close of business	COB
Code of Federal Regulations	CFR
Commission	COMM
Company	CO
Concussion	CONC
Conjunctivitis	CONJ
Consumer Price Index	CPI
Continuation of pay	COP
Contusion	CONT

Corporation	CORP
Council of Economic Advisers	CEA
Court	CT
Daily roll	DR
Data entry clerk	DEC
Date disability began	DDB
Date of injury	DOI
Date of recurrence	DOR
Department	DEPT
Dept. of Veterans Affairs	VA
Diagnosis	DX
Director	DIR
District	DIST
District Director	DD
District of Columbia Compensation Act	DCCA
District Office	DO
District Medical Advisor	DMA
District Medical Director	DMD
Division of Federal Employees' Compensation	DFEC
Doctor	DR
Doubled case	DDD
Drive	DR
Duplicate	DUP
East	E.
Employees' Compensation Appeals Board	ECAB
Employer I.D. number	EIN
Employing agency	EA
Engineer	ENGR
Executive Office of the President	EX OFF of the PRES
Executor	EXEC
Expressway	EXPY
Fact of injury	FOI
Farm Credit Administration	FCA
Farmers Home Administration	FFHA
Federal	FED
Federal Aviation Agency	FAA

Federal Bureau of Investigation	FBI
Federal Communications Commission	FCC
Federal Deposit Insurance Corporation	FDIC
Federal Emergency Management Administration	FEMA
Federal Employees' Compensation Act	FECA
Federal Employees' Health Benefits	FEHB
Federal Maritime Commission	FMC
Federal Mediation and Conciliation Service	FMCS
Federal National Mortgage Association	FNMA
Federal Personnel Manual	FPM
Federal Power Administration	FPA
Federal Records Center	FRC
Federal Reserve System	FRS
Federal Retired Employees Health Benefits	FREHB
Federal Trade Commission	FTC
Field Nurse	FN
Fiscal Officer	FO
Fit for duty	FFD
Fit for light duty	FFLD
Fleet Post Office	FPO
Food and Drug Administration	FDA
Foot	FT
Foreign Agricultural Service	FAS
Foreign body	FB
Forest Service	FORSERV
Form Letter	FL
Fracture	FX
General	GEN
General Accounting Office	GAO
General Services Administration	GSA
Government	GOVT
Government Printing Office	GPO
Health and Human Services	HHS
Health benefits	HB
Health Benefits Subscription	HBS
Hearing loss	H/L, HL
Helper	HLPR

Highway	HWY
Hospital	HOSP
Hour	HR
Incised	INC
Infection	INF
Inguinal	ING
Injury	INJ
Internal Revenue Service	IRS
International	INTERNAT
International Development Cooperation Admin.	IDCA
Interstate Commerce Commission	ICC
Job application	JA
Job description (position description)	PD
Junior	JR
Laborer	LAB
Laceration	LAC
Lane	LA
Left	LT
Legal	LEG
Letter carrier	L.C.
Longshore and Harbor Workers' Compensation Act	LS/HWCA
Loss of wage-earning capacity	LWEC
Machinist	MACH
Machine operator	MACH OPR
Mailroom	MRM
Maritime Administration	MA
Mechanic	MECH
Medical evidence	ME
Medical history	HX
Medical Management Assistant	MMA
Medical report	MR
Messenger	MESSGR
Military Sea Transportation Service	MSTS
Month	MO
Morning	A.M.

National	NATL
National Aeronautics and Space Administration	NASA
National Guard Bureau	NGB
National Institute of Standards and Technology	NIST
National Institutes of Health	NIH
National Labor Relations Board	NLRB
National Science Foundation	NSF
National Security Agency	NSA
National Security Council	NSC
Neighborhood Youth Corps	NYC
North	N.
Not fit for duty	NFFD
No time lost	NTL
Office of Personnel Management	OPM
Office of Workers' Compensation Programs	OWCP
Old Age and Survivors Insurance	OASI
Operator	OPR
Optional Life Insurance	OLI
Ordnance	ORD
Organization of American States	OAS
Organization for Economic Cooperation and Development	OECD
Overpayment	OP
Parcel post	PP
Parkway	PKWY
Performance of duty	POD
Periodic roll	PR
Periodic roll review	PRR
Place	PL
Post office	PO
Public Health Service	PHS
Puncture	PUNC
Railroad Retirement Board	RRB
Railway	RY
Rehabilitation Counselor	RC

Rehabilitation Specialist	RS
Regional Director	RD
Return to duty	RTD
Right	RT
Road	RD
Route	RT
Rural Electrification Administration	REA
Schedule award	S/A, SA
Securities and Exchange Commission	SEC
Selective Service System	SSS
Senior	SR
Senior Claims Examiner	SrCE
Shoulder	SHLDR
Small Business Administration	SBA
Social Security Administration	SSA
Solicitor	SOL
South	S.
Sprain	SPR
Square	SQ
Staff Nurse	SN
Statement of Accepted Facts	SOF, SOAF
Strain	STR
Street	ST
Substitute	SUB
Superintendent	SUPT
Supervisor	SUP
Supervisory Claims Examiner	SCE
Tax I.D. Number	TID
Technical Assistant	TA
Technician	TECH
Temporary	TEMP
Tennessee Valley Authority	TVA
Terrace	TERR
Tuberculosis	TB
Turnpike	TPKE
United States	U.S.

United States Coast Guard	USCG
United States Code	USC
United States Employment Service	USES
United States Information Agency	USIA
United States Marine Corps	USMC
U. S. Postal Service	USPS
Veterans Affairs Medical Center	VAMC
Volunteers in Service to America	VISTA
Wage-Earning Capacity	WEC
Week	WK
Weight	WT
West	W.
Workers' Compensation Assistant	WCA
Works Projects Administration	WPA
Year	YR
Young Adult Conservation Corps	YACC

1-0200 - JURISDICTION

Table of Contents

Exhibits

1-0200-1 Purpose and Scope

1. Purpose and Scope. This chapter describes the jurisdictions of the 12 district offices (DOs) which make up the Division of Federal Employees' Compensation (DFEC). Although the jurisdictional rules set forth below are designed to apply to virtually all claims arising under the Federal Employees Compensation Act (FECA), the Director or Deputy Director for FEC has the authority and discretion to assign a specific claim to any district office, either before or after initial adjudication, regardless of where the claim would normally be handled under these jurisdictional rules.

1-0200-2 General Jurisdiction

a. District Office 1, Boston, MA. Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont.

b. District Office 2, New York, NY. New Jersey and New York; Puerto Rico and the Virgin Islands.

c. District Office 3, Philadelphia, PA. Delaware, Pennsylvania, West Virginia and, effective February 1, 2003, federal employees who reside in the 21xxx zip cluster in Maryland.

d. District Office 6, Jacksonville, FL. Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina and Tennessee.

e. District Office 9, Cleveland, OH. Indiana, Michigan, Ohio and Special Jurisdiction cases.

f. District Office 10, Chicago, IL. Illinois, Minnesota and Wisconsin.

g. District Office 11, Kansas City, MO. Iowa, Kansas, Missouri and Nebraska; and the following:

(1) Cases filed by employees of the former Mining Enforcement and Safety Administration (MESA) of the Department of the Interior for cardiopulmonary conditions due to coal dust exposure; and

(2) Cases filed by employees of the Department of Labor and their relatives (except Job Corps and employees of the Office of Workers' Compensation Programs-Midwest Region and their relatives).

h. District Office 12, Denver, CO. Colorado, Montana, North Dakota, South Dakota, Utah and Wyoming.

i. District Office 13, San Francisco, CA. Arizona, California, Hawaii and Nevada; Pacific trust territories.

j. District Office 14, Seattle, WA. Alaska (including Aleutian Islands), Idaho, Oregon and Washington.

k. District Office 16, Dallas, TX. Arkansas, Louisiana, New Mexico, Oklahoma and Texas.

l. District Office 25, National Operations Office (NOO), Washington, DC. District of Columbia, Maryland (except federal employees who reside in zip cluster 21xxx) and Virginia. Also included are cases for employees of the Office of Workers' Compensation Programs-Midwest Region and their relatives. See paragraph 3 below which describes the special jurisdiction cases that are still included in District 25's (NOO) jurisdiction.

1-0200-3 Special Jurisdiction

3. Special Jurisdiction. Some cases are assigned by nature of employment or nature of injury, or because compensation coverage is provided by a special provision of the FECA or by a law other than the FECA. Many of these cases have special prefixes, which are shown in Exhibit 1.

a. Adjudicated and Managed in National Operations Office (NOO). All notices of injury and claims for employees of the employing agencies listed below are to be sent to the NOO.

(1) All members of Congress and their staffs and all other employees of the Capitol and Senate and House office buildings.

(2) White House employees

(2) Executive Office of the President

(2) Architect of the Capitol

(2) Library of Congress

(2) Employees of the Government Accounting Office

(7) Employees of the Capitol Hill Police

b. Adjudicated and Managed in District Office 9 (Cleveland). All notices of injury and claims for employees of the agencies (or for specific conditions) listed below are adjudicated and managed by District Office 9 (Cleveland).

(1) All claims arising outside the United States, its possessions, territories and trust territories. This group includes claims by U.S. citizens and residents; all foreign nationals, wherever employed; Peace Corps volunteers, and employees of the former Panama Canal Commission.

Adjudicated cases of American citizens in this group, except those of employees of the former Panama Canal Commission will be transferred to the DO with geographical jurisdiction once the claimant returns to the U.S.

(2) All claimants who move outside the U.S.

(3) Non-Federal law enforcement officers (These cases are prefixed with “LE”.)

(4) Former Office of Economic Opportunity (OEO) administrative employees only

(5) Americorps VISTA (Volunteers in Service to America)

(6) Reserve Officer Training Corps (cases prefixed TC)

(7) Civil Air Patrol (cases prefixed CP)

(8) Civilian Conservation Corps (cases prefixed CC)

(9) Civilian War Benefits (cases prefixed CB)

(10) Civil Works Administration (cases prefixed CW)

(11) Contractors, Pacific Naval Air Bases (cases prefixed EA)

(12) Federal Emergency Relief Administration (cases prefixed FE)

(13) Florida Hurricane (cases prefixed FH)

(14) National Youth Administration (cases prefixed NY)

(15) Old Law (cases prefixed OL)

(16) War Claims (cases prefixed WC)

(17) War Hazards (cases prefixed WH)

(18) War Relocation Authority (cases prefixed RA)

(19) Members of the Coast Guard Auxiliary and temporary members of the Coast Guard Reserve

(20) Radiation and similar high energy injury cases

(21) Agent Orange exposure

(22) Contract Observers on Vessels (cases prefixed OB)

(23) Employees of the former Panama Canal Commission

(24) Gulf War Syndrome

c. Processed In District 9 until Adjudication. The cases listed below are serviced in District 9 until they are adjudicated. They may then be sent to the DO with general jurisdiction:

(1) Agency for International Development (AID)

(2) Department of State American Foreign Service Officers (FSOs) and foreign national employees [see paragraph 3.b.(1) above]. Claims by non-FSOs may be

filed in the DO with general jurisdiction.

(3) U.S. Information Agency (USIA)

(4) Peace Corps volunteers

d. Developed in DO. The cases listed below are to be created and developed in the DO with general jurisdiction but are to be sent to District 9 (Cleveland) for adjudication. They may be transferred back to the original DO after adjudication:

(1) Contract job cleaners used by the U.S. Postal Service (USPS). (See FECA PM 2-802.)

(2) Mail messengers with the USPS. (See FECA PM 2-802.)

(3) Staphylococcus carriers. (See MEDGUIDE, Chapter 4-5, in Folio views.)

(4) Vocational education students in work-study programs. (See FECA Program Memorandum No. 54.)

(5) Workers serving without compensation other than specific categories of volunteers covered under special instructions. (See FECA PM 2-802.9.)

e. Routed through the National Office (NO), District 50. The NO receives cases requested by the Branch of Hearings and Review (H&R) and the Employees' Compensation Appeals Board (ECAB). The NO also handles cases involving security considerations, including those arising from the National Security Agency and the Central Intelligence Agency.

1-0200-4 Jurisdiction Before Adjudication

4. Jurisdiction Before Adjudication. The DOs process all general jurisdiction cases (see paragraph 2 above) where the employee's workplace is located within the geographical area served by the DO. Special jurisdiction cases are handled as stated in the paragraph above.

a. Workplace. The "workplace" is the employee's actual duty station. Its location is usually determined by the "Agency name and address of reporting office," Item 17 on Form CA-1 or Item 19 on Form CA-2.

b. Permanent Duty Station. The employing agency should show the permanent duty station when completing Form CA-1 or CA-2.

Any question about the permanent duty station should be resolved by examining "Employee's home mailing address," Item 7 on Form CA-1 or CA-2.

EXAMPLE: If an employee is working for an agency located in District 2, New York, and is injured while on temporary duty (TDY) outside the geographic area of District 2, the case is adjudicated by District 2.

EXAMPLE: An employee of the Military Sealift Command injured on board ship, or on shore when ship is in port, is considered to be working out of the home port of the ship, regardless of where the injury occurred. This situation arises in cases from District 2, New York, and District 13, San Francisco.

1-0200-5 Jurisdiction After Adjudication

5. Jurisdiction After Adjudication. The jurisdiction may change under certain conditions, as follows:

a. Non-fatal Cases. After adjudication, the home address of the injured employee governs the jurisdiction of the case file, except for the special jurisdiction cases listed in paragraph 3, which are confined to the NOO or District 9, as appropriate. Also, the jurisdiction of an adjudicated case may change when the claimant moves.

b. Fatal Cases. The rules for non-fatal cases also apply to fatal cases. However, more than one beneficiary is often involved. After adjudication, jurisdiction is determined by the address of:

(1) The widow or widower if entitled to benefits.

(2) The youngest child, if there is no widow or widower entitled to benefits.

(3) The youngest dependent entitled to benefits, if there is no widow, widower or child.

c. Seasonal Residence. Some claimants spend parts of each year in different areas of the country, either for vacation or for reasons of climate (e.g., an individual moves from New York to Florida for the winter months). Such cases should be transferred only if the move spans a whole year and the claimant has requested a change of address.

Exhibit 1 1-0200 x1 Prefixes Used for FECA Cases

PREFIXES USED FOR FECA CASES

1. 1 to 1,200,000 - Cases created from September 7, 1916 to September 1944.

2. 01 (or A1) - Prefix used for FECA cases created in District Office 1, Boston, MA

3. 02 (or A2) - Prefix used for FECA cases created in District Office 2, New York, NY

4. 03 (or A3) - Prefix used for FECA cases created in District Office 3, Philadelphia, PA

5. 06 (or A6) - Prefix used for FECA cases created in District Office 6, Jacksonville, FL

6. 07 (or A7) - Prefix used for FECA cases created in previous District Office 7, New Orleans, LA

7. 09 (or A9) - Prefix used for FECA cases created in District Office 9, Cleveland, OH

8. 10 (or A10) - Prefix used for FECA cases created in District Office 10, Chicago, IL

9. 11 (or A11) - Prefix used for FECA cases created in District Office 11, Kansas City, MO

10. 12 (or A12) - Prefix used for FECA cases created in District Office 12, Denver, CO

11. 13 (or A13) - Prefix used for FECA cases created in District Office l3, San Francisco, CA

12. 14 (or A14) - Prefix used for FECA cases created in District Office 14, Seattle, WA

13. 15 (or A15) - Prefix used for FECA cases created in previous District Office 15, Honolulu, HI

14. 16 (or A16) - Prefix used for FECA cases created in District Office 16, Dallas, TX

15. 25 (or A25) - Prefix used for FECA cases created in District Office 25, Washington, D.C.

16. 50 (or A50) - Prefix used for FECA cases created in previous District Office 50, Washington, D.C.

17. C - Prefix used for cases originating with the former Panama Canal Commission.

18. CA - Prefix used for cases containing report of injuries sustained by employees of the Civil Works Administration.

19. CB - Prefix used for cases containing reports of injuries of those people applying for Civilian War Benefits.

20. CC - Prefix used preceding the number for cases containing reports of injuries sustained by enrollees of the Civilian Conservation Corps. This group of cases was jacketed in the same folder as was used for FECA cases and were numbered in the same number series.

21. CP - Prefix used for cases containing reports of injuries sustained by members of the Civil Air Patrol.

22. DX - Prefix used for cases containing report of injuries sustained by employees as a result of exposure to Agent Orange.

23. EA - Prefix used for covering employees of contractors who were building defense bases and were taken prisoners by the Japanese during World War II. Originally, these cases were assigned a block of numbers in the same numbering series as the FECA cases; however, at a later date, as additional cases were received, they were assigned a number in the regular FECA series with the prefix "EA" added.

24. ECC - Prefix used for a group of cases docketed in Manila, PI, after World War II. These cases were later transferred to the National Office where they were assigned new numbers in the regular FECA series.

25. FE - Prefix used for cases containing reports of injuries sustained by employees of the Federal Emergency Relief Administration.

26. FH - Prefix used for cases containing reports of injuries sustained by employees who applied for benefits under the Florida Hurricane Act.

27. LE - Prefix used for cases containing reports of injuries sustained by Law Enforcement Officers not employed by the United States.

28. OB - Prefix used for cases involving contract observers working on vessels under the Magnuson-Stevens Fishery Conservation and Management Act or the Marine Mammal Protection Act of 1972..

29. OL - Prefix used for cases containing reports of Injuries sustained prior to September 7, 1916.

30. PI - Prefix used for a group of cases jacketed in Manila, PI, other than War Claims. When these cases were transferred to the National Office they were rejacketed and assigned numbers in the FECA series.

31. R - Prefix used for cases containing reports of injuries to seamen employed on vessels chartered by the War Shipping Administration.

32. RA - Prefix used for cases containing reports of injuries sustained by internees while employed in the Relocation Centers during World War II.

33. SS - Prefix denoting Civilian War Benefits (CWB) cases in the Social Security Administration series. When the Civilian War Benefits were transferred from the Social Security Administration to DFEC, they were jacketed in letter-size folders. Some of these were immediately transferred to cases and assigned C.W.B. numbers. However, some of these did not develop into cases. Rather than rejacket and assign new numbers, the last section of four or five digits of the Social Security number was used for filing purposes and the prefix "SS" identified the group.

34. TC - Prefix used for cases containing reports of injuries sustained by members of the Reserve Officers Training Corps (ROTC).

35. TH - Prefix used in the Honolulu Office for FECA cases processed there during World War II. When these cases were transferred to the National Office they were assigned numbers in the FECA series.

36. WC - Prefix used for cases containing reports of injuries sustained by employees who applied for benefits under the War Claims Act.

37. WH - Prefix given to cases where injury is caused by a hostile force. The claimant may be a Federal employee, a contractor to a Federal agency, or a non-appropriated fund employee at an overseas location.

38. WCA - Prefix assigned to War Claims cases in the Manila, PI office. When these cases were transferred to the National Office, the cases were assigned numbers in the WC series.

39. WP - Prefix assigned to cases containing reports of injuries sustained by employees of the Work Projects Administration.

40. X - Prefix used on FECA cases after 1,200,000 cases. When DFEC had jacketed 1,200,000 cases, it was deemed advisable to start a new series in order that there might be fewer digits in the number.

41. 1S - Prefix assigned to cases containing reports of injuries attributed to smallpox inoculations or reports of injuries attributed to workplace exposure to others who have been inoculated for smallpox.

42. 2,000,000 - Numbering series used to identify fully imaged case records.

43. 3,000,000 - Numbering series used to identify cases containing reports of injuries related to the terrorist attacks of September 11, 2001.

44. 3,002,000 - Numbering series used to identify cases containing reports of injuries sustained by federal employees during the war in Iraq.

45. 3,005,000 - Numbering series used to identify cases containing reports of injuries related to anthrax exposure, beginning with the claims of October 2001.

46. 3,006,000 - Numbering series used to identify cases containing reports of injuries related to Hurricane Katrina and its aftermath.

47. 5,000,000 - Numbering series used in War Hazard Compensation cases containing reports of injuries, death or detention of employees of contractors with the United States, where such injuries occurred outside the United States.

1-0300 - PROCESSING MAIL

Table of Contents

1-0300-1 Purpose and Scope

1. Purpose and Scope. This chapter addresses the kinds of mail and the priority given to each kind. It also discusses how to sort, open, date-stamp, and search for mail; how to process cash received; and how to process outgoing mail.

1-0300-2 Kinds of Mail

2. Kinds of Mail. Most mail is received via the U.S. Postal Service (USPS). However, some mail is received by private overnight mail service, some arrives by facsimile transmission (fax), and some is hand-delivered. Mail is grouped as follows:

a. Priority Correspondence. The Department of Labor (DOL) considers mail from the following parties to be priority correspondence:

(1) The President and White House Staff.

(2) The Vice President and members of the Vice President's staff.

(3) The President Pro Tempore of the Senate.

(4) The Speaker of the House of Representatives.

(5) Other Members of Congress.

(6) Members of the Cabinet.

(7) Heads of independent Federal establishments.

(8) Governors of States.

(9) Foreign government officials (Prime Ministers, Cabinet-level officers, Ambassadors, etc.)

(10) Heads of employee organizations.

(11) Heads of national and international labor organizations.

(12) Members of the press.

(13) Requests made under the Freedom of Information and Privacy Acts.

b. Primary Claim Forms. These forms, which contain information on new claims, include:

(1) CA-1, Report of Traumatic Injury.

(2) CA-2, Report of Occupational Disease.

(3) CA-5, Claim for Compensation by Widow/Widower and/or Children.

(4) CA-5b, Claim for Compensation by Parents, Brothers, Sisters, Grandparents, or Grandchildren.

(5) CA-6, Official Superior's Report of Employee's Death

(6) Death certificates, telegrams or faxes notifying OWCP of an employee's death.

(7) CA-16, Authorization for Examination and/or Treatment.

(8) A letter with words of claim (see FECA PM 1-0400).

c. Other Claim Forms. These forms are usually submitted for existing claims:

(1) Form CA-2a, Notice of Recurrence of Disability.

(2) Form CA-7, Claim for Compensation on Account of Traumatic Injury.

d. Bills. Forms OWCP-1500 and HCFA-1500 are normally used to bill the OWCP for medical services and supplies. Hospital bills are usually submitted on Form UB-82 or UB-92. Bills for vocational rehabilitation services and for services rendered in other countries may be sent on other forms.

e. Routine Mail. This group includes many kinds of mail for case files. Designated claims staff will screen mail if Mail and File staff cannot decide on the proper routing:

(1) Letters from claimants and their representatives.

(2) Letters from employing agencies.

(3) Medical reports from attending physicians, including Forms CA-17, CA-20, CA-20a, and OWCP-5;

(4) Mail from contractual sources, including medical reports from second opinion and referee specialists, and progress reports from field nurses and vocational rehabilitation counselors;

(5) Requests for information from the Office of Personnel Management (OPM), the Veterans Administration (VA), and other Federal, state and local government agencies; and

(6) Health Benefits Forms SF-2809 and SF-2810.

f. Other Mail. This group includes mail which does not concern specific claims.

1-0300-3 Initial Sort

3. Initial Sort. The Mail and File (M&F) Clerk should separate certain envelopes from the rest of the incoming mail, as follows:

a. Mail for Delivery Without Opening. This mail includes:

(1) Certified mail (the M&F Clerk will need to sign a receipt for the USPS);

(2) Mail for the Regional Director or District Director;

(3) Material from the National Office; and

(4) Mail marked "Do not open in Mail Room" or the like (at district office option).

b. Mail for a Party Outside of the OWCP. If the party is located in the same building, the mail should be delivered to him or her. If not, it should be returned to the USPS.

1-0300-4 Opening and Date-Stamping Mail

4. Opening and Date-Stamping Mail.

a. Opening Mail. The M&F Clerk should:

(1) Check the contents of each envelope carefully to ensure that all contents are removed.

(2) Circle the case number with a colored pencil.

b. Date-Stamping Mail. The stamp shows receipt by the OWCP, the district office (DO), and the month, day, and year of receipt. All mail must be date-stamped before leaving the Mail Room. The M&F Clerk should date-stamp each piece of mail on the front.

(1) The stamp should not be placed over any writing.

(2) The stamp may be placed on back of a form if it will not be legible on the front.

(3) The stamp machine should be secured when not in use.

1-0300-5 Processing Cash

5. Processing Cash. The term "cash" includes paper money, coins, checks, and money orders. Letters containing cash should be separated from all others. Cash received must be processed according to the DOL's accounting and control procedures. [See Section 942, Collections, in Chapter 6-900, Financial Management, of the DOL Manual Series (DLMS)].

a. Cash Receipts Register. The designated M&F Clerk should record each cash item in the Cash Receipts Register, Form DL 1-301, initialing and dating each item. All entries should be made in ink.

(1) Line out incorrect entries rather than erasing or obscuring them. The M&F Clerk making the change should initial the entry.

(2) If the M&F Clerk cannot record the cash on the day it is received, it should be placed in a locked container and recorded on the next workday.

(3) Retain Cash Receipt Registers for two years.

b. Cash Transfer Receipt. After recording all cash receipts on Form DL 1-301, the M&F Clerk may also record them on Form DL 1-303, Cash Transfer Receipt, at DO option. The M&F Clerk should initial and date this form if used.

As with Form DL 1-301, if the M&F Clerk cannot record the cash on the day it is received, it should be placed in a locked container and recorded on the next workday.

c. Disposing of Cash. After completing Form DL 1-301 and DL 1-303 (if used), the M&F Clerk should hand-carry the cash to the DO's Cash Accounting Clerk, who will also sign and date the form(s), indicating receipt of the cash. The M&F Clerk keeps the original and pink copy of Form DL 1-303, and the Cash Accounting Clerk keeps the blue copy.

d. Cash Not Received. If a letter stating that cash is enclosed does not actually contain cash, the M&F Clerk should write on the envelope or letter:

CASH NOT ENCLOSED AT TIME OF RECEIPT
IN THE MAIL ROOM______________________
Clerk's Initials and Date

The M&F Clerk should then give the letter to the Cash Accounting Clerk for reply.

1-0300-6 Identifying Case Locations

6. Identifying Case Locations. The M&F Clerk must determine the location of each piece of mail before searching for cases.

a. Unnumbered Mail. If the mail is not numbered, the M&F Clerk should find the number by using the Name Search option in the Query function (see FECS Users Manual).

(1) If a match is found, the M&F Clerk should note the case number and current location code in the upper right corner of the mail, then place the piece of mail in the proper location to be sorted and attached.

(2) If a match is not found, the M&F Clerk should write "NID" (not in database) in the upper right corner and give it to the appropriate Supervisor or Team

Leader. He or she will need to decide whether to create a case, route the mail within the DO without creating a case, or return it to the sender.

b. Numbered Mail. The M&F Clerk should use the Case Search function (option 02) in Query to obtain the current location and/or Unit ID and note it in the upper right corner of the mail.

(1) If an error message is received when the case number is entered, the M&F Clerk should use the Name Search function (option 02) in Query to verify that the mail contains the proper number. If it does not, the M&F Clerk should note the correct number on the mail.

(2) If the correct case number cannot be identified, the M&F Clerk should give the mail to the appropriate individual (see paragraph a(2) above).

c. Mail for Transferred and Loaned Cases. Mail always follows the case file, whether transferred or loaned. (However, if the case has been retired to the Federal Records Center (FRC), the case should be requested from the FRC.) Mail for other DOs should be collected and forwarded on a daily basis by certified mail.

1-0300-7 Searching Mail

7. Searching Mail. After checking the mail for case number and location, the M&F Clerk handles it according to type.

a. Groups of Mail. After date-stamping the mail, the M&F Clerk should sort it into the following groups, which are described in paragraph 2 above:

(1) Priority Correspondence. The M&F Clerk should hand-carry the letter with the case file to the person handling priority correspondence as soon as possible.

(2) Primary Claim Forms. Unless a case has already been created and closed code "C", a new case will need to be created (see FECA PM 1-0400.) The M&F Clerk then keys and delivers it to the claims unit, sorted according to responsible Claims Examiner (CE).

(3) Other Claim Forms.

(a) Forms CA-7 received after case creation are entered into the Timely Payment of Compensation (TPCUP) program and given directly to the responsible CE.

(b) Forms CA-2a are entered into the Disability Tracking System beginning with option 01 and given directly to the responsible CE.

(4) Bills. Bills for medical services and supplies are handled as stated in FECA PM Chapter 5-0200.8-10 and FECA Bulletins 99-21 and 99-31.

Bills from other countries should be forwarded through the Fiscal Unit to the National Office for payment.

Copies of bills from Field Nurses are delivered to the Staff Nurse or the CE. Copies of bills from Vocational Rehabilitation Counselors are delivered to the Vocational Rehabilitation Specialist or the CE.

(5) Routine Mail. Such mail should be placed in the case, wherever located, unless the DO elects to have CEs screen mail prior to placement with the case. At DO option, the following kinds of mail may be delivered directly to the unit responsible for processing it:

(a) Third party actions--to Third-Party Examiner.

(b) Requests for action when a check was lost or never received--to Fiscal Unit.

(c) Transactions or other documents from the Department of the Treasury--to Fiscal Unit.

(6) Other Mail.

(a) Letters from potential service providers should be routed as follows: Physicians and Clinical Psychologists, to the Medical Unit; Registered Nurses, to the Staff Nurse; and Vocational Rehabilitation Counselors, to Vocational Rehabilitation Unit.

(b) General inquiries may include questions about the OWCP's practices and requests for technical assistance. Letters in this category will be routed according to district office policy.

(c) Interoffice memorandums should be routed according to the party addressed.

b. Requests for Case Files. In addition to searching for mail, the M&F Clerk will need to look for cases requested from within and outside the DO.

(1) From Within the DO. Form CA-33, Case File Release or Call Request, is used to request case files within the DO. The person desiring the case or the M&F Clerk may prepare the form.

If the M&F Clerk receives a telephone request for a case, and the case cannot be located and delivered immediately, the Clerk should prepare a Form CA-33 and place it in the mail.

(2) From Outside the DO. Case files requested by the Employees' Compensation Appeals Board (ECAB) and the Branch of Hearings and Review (H&R) are identified by computer-generated case lists. Case files requested by the National Office (NO) and other DOs are identified on Form CA-58, Case File Transfer. The M&F Clerk should take these cases to the location designated by the District Director.

c. Searching and Placing Mail. Mail should be searched each day, and 75% of mail should be properly placed in case files within two work days of receipt. For mail not placed within that time, appropriate follow-up should be made at five-day intervals until all mail is placed.

(1) When mail is placed, the folders may remain where they are, or they may be given to the person working at that location, according to local practice.

(2) The M&F Clerk should not remove a case file from its location without notifying the person responsible for it at that location. The M&F Clerk must enter a location change for any case picked up.

1-0300-8 Outgoing Mail

8. Outgoing Mail. Outgoing mail is processed as follows:

a. Envelopes. All envelopes must show the addressee's ZIP code. Some post offices require a further separation of local mail, and such requirements must be honored.

b. Heavy Envelopes and Packages. Such parcels must be securely wrapped with heavy-duty plastic tape or twine. Likewise, boxes of case files must be packed securely.

c. Postage. A postage meter is used to affix postage. Airmail letters for overseas delivery will be bundled separately from regular mail.

d. Registered and Certified Mail. These types of mail are processed according to USPS regulations and the procedures established in each district office.

e. Overnight Express Mail. The services of the designated contractor may be used according to the practices of the DO.

1-0300-9 Timeliness Report

9. Timeliness Report. Each office is required to sample its mail for one month each year.

a. Groups. The five categories of mail sampled include:

(1) Claims (including recurrences);

(2) Bills;

(3) Mail from contractual sources (including second opinion and referee specialists, field nurses, and rehabilitation counselors);

(4) Faxes; and

(5) Routine mail, which includes certified mail; letters from claimants; medical reports from attending physicians; and documents hand-carried to the DO.

b. Size of Sample. The number of pieces of mail to be sampled is based on management review criteria, which require a sample of 42 for any universe over 3000 items.

(1) All DOs receive at least 3000 bills and pieces of "other" mail per month. While the number of claims, items of mail from contractual sources, and faxes varies among DOs, the amount of mail to be sampled in all groups has been set at 42 pieces so that an actual count of mail in each category will not be required.

(2) In the "routine" group, the sampling should include 10 pieces of certified mail; 10 letters from claimants; 10 medical reports from attending physicians; and 12 hand-delivered documents.

c. When to Sample. The sampling process should begin at least 60 days before the DO's next accountability review or management review. Using a log such as the one shown in

Exhibit 1 (Link to Image), the DO should do the following:

(1) Once a week, randomly select 10-12 pieces of date-stamped incoming mail in each group and copy the contents. Return the originals to the work area and place the copies in a folder.

(2) Two work days from date of receipt, check the case files to see if the items sampled appear in the files. (For bills, see if the bill has been entered into the Bill Pay System.)

(a) If so, record this date in the log.

(b) If not, check the pending mail, pending bills, or pending claims (if CA-2a or CA-7 is involved).

(3) For mail which remains unplaced, check the case files another five work days later. If the case file does not contain the piece of mail, provide a written memorandum to the person responsible for placing the mail, with a copy of the item, requiring that the case be located and examined to determine why the mail was not placed or could not be found.

(4) For any items not found, repeat this process at five-day intervals until 30 work days from date of receipt. At this time the items should be considered lost absent a good reason for delay in placement (the case is in the FRC, on appeal, etc.)

(5) At the end of the month, prepare a report which shows:

(a) How many pieces of mail were placed in the following intervals from date of receipt: 0-2; 3-5; 6-10; 11-15; 16-20; 21-25; and 26-30.

(b) The number of items sampled and the number of items not placed after 30 days. This last category should be further subdivided to show the number of items not yet placed and the number of items lost.

(6) Forward the completed report to the District Director.

Exhibit 1 1-0300 x1 Sample Mail Tracking Report (Link to Image)

1-0400 - CREATION OF CASES

Table of Contents

1-0400-1 Purpose and Scope

1. Purpose and Scope. This chapter describes the contents of new cases and the bases for creating them. It also discusses how to create the physical files and in general how to create the electronic records (detailed instructions are given in the FECS Users Manual).

1-0400-2 New Cases

2. New Cases. A new case usually consists of official reports of injury or death, with accompanying letters.

a. Written Notice. A new case may be made up based on any of the following:

(1) Form CA-1, Federal Employee's Report of Traumatic Injury.

(2) Form CA-2, Federal Employee's Notice of Occupational Disease.

(3) Form CA-5, Claim for Compensation by Widow, Widower, and/or

Children.

(4) Form CA-5b, Claim for Compensation by Parents, Brothers, Sisters, Grandparents, or Grandchildren.

(5) Form CA-6, Official Superior's Report of Employee's Death.

(6) Form CA-7, Claim for Compensation on Account of Traumatic Injury.

(7) Form CA-16, Request for Examination and/or Treatment (accompanied by a medical report and a bill).

(8) A telegram or facsimile transmission (fax) advising OWCP of the death of a Federal employee while in the performance of duty.

(9) Any letter or document containing words of claim.

(10) A death certificate, if approved by a supervisor or other manager.

(11) A claim filed in error as a recurrence on Form CA-2a which is really a claim for a new injury or occupational illness. In this situation, it is not necessary to request a new CA-1 or CA-2.

b. Verbal Notice. In some instances, cases may be created based on telephone calls:

(1) If a claimant cannot act on his or her own behalf (for example, due to critical condition), the record of telephone call may be made into a case on approval of a supervisor or other manager. Information needed to create the case can be secured by telephone from the employing agency. At a minimum, this information should include the injured person's name, date of injury, date of birth, and Social Security number (SSN), along with the name and address of the employing agency.

(2) If an employee has died, the record of telephone call may be made into a case. The person receiving the call should obtain as much information as possible about the deceased and how the death occurred. At a minimum, this information should include the deceased's name, date of injury, date of birth, and SSN, along with the name and address of the employing agency.

c. Information Lacking. Mail Room staff will return to the sender any forms or letters which do not contain enough information to create a case. The cover letter should explain the reason for return and ask the sender to re-submit all materials along with the missing information.

1-0400-3 No Time Lost Cases

3. No Time Lost Cases. Certain Forms CA-1 and CA-2 will show that the claimant lost no time from duty and/or had no medical expenses from the injury.

a. First Aid Injuries.

(1) A case is defined as a first aid injury if:

(a) The upper right corner of the supervisor's part of Form CA-1 is marked "First Aid", and

(b) Items 24 and 26 of Form CA-1 are blank, showing that the employee has not been charged leave or continuation of pay.

(2) These cases are made up in the usual way, but they are counted separately.

b. No Time Lost/No Medical Expense Injuries (NTL-NME).

(1) A case is defined as NTL-NME if:

(a) Item 39 of Form CA-1 is checked and Item 24 is blank.

(b) Item 27 of Form CA-2 is blank, and no medical bill is included with the form.

(2) NTL-NME cases should be handled as follows:

(a) For Form CA-1, the M&F Clerk should return the form and any related letters to the employing agency for inclusion in the Employee Medical Folder, using Form CA-1420 or a similar letter. All letters should contain the full return address of the district office, and photocopied letters should be of good quality.

The M&F Clerk should enter the date of the letter, date of injury, and the name and address of the employing agency at the top of the letter, and the name and address of the injured employee at the bottom of the letter. It is not necessary to keep copies of Form CA-1420 or Form CA-1.

(b) For Form CA-2, a case should be created. If correspondence relating to the case is received before Form CA-2, a supervisor will decide whether to create a case.

c. Job Corps Enrollees. ETA Form 6-61, "Notice of Termination", should accompany any Form CA-1 or CA-2 for a Job Corps enrollee. Form 6-61 shows that enrollment with the Job Corps has ended. A notice of injury from a person whose enrollment in the Job Corps has not ended should be returned to the Job Corps center. The cover letter should ask that the claim be sent to OWCP only after enrollment has ended, since that is when entitlement to benefits under the FECA begins.

1-0400-4 Short Form Closures

4. Short Form Closures. Certain cases which are very simple or do not involve large expenses are closed "short form", without formal adjudication by claims staff.

a. Criteria. When the case is created, the system screens it to determine whether it meets the criteria for short form closure. Most non-controverted traumatic cases received within six months of the injury date will meet these criteria. When this happens, a screen is displayed with the message "No-Lost-Time/Lost-Time Case Automatically Closed - Medical Payments Only."

However, if the case has certain codes for source, nature, cause and extent of injury, as well as certain employing agency codes (as for "fringe act" cases, Peace Corps or VISTA Volunteers, or the Coast Guard Auxiliary), the system will not allow a short form closure.

The screening criteria are described in Exhibit 1.

b. Status Codes. For short form closures the system sets the adjudication and case status codes to AM/C1 if the case is no-lost-time, or to AC/C4 if the case is lost-time. It sets the accepted flag to "C" for both lost-time and no-lost-time cases. If the case cannot be closed short form, the case status is set to "UN".

c. Mail. Regular mail for cases that are coded AM/C1 or AC/C4 with the Accepted Flag set to "C" should simply be drop filed. The rest of the mail, including all claims for compensation and recurrence claims (Forms CA-7 and CA-2a), should be processed as for any other case.

1-0400-5 Creating Physical Cases

5. Creating Physical Cases. Case files are letter-size (8 1/2" x 11") half-cut Kraft folders. They are pre-numbered, and each digit appears on a bright-colored background. New cases contain the following:

a. Forms. Starting from the bottom, forms should be filed on a spindle as follows:

(1) Non-Fatal Cases. Form CA-7, CA-2, CA-1, CA-16, and CA-20.

(2) Fatal Cases. Form CA-6, CA-5b, CA-5, CA-2, and CA-1. All material on the right side of the folder should be fastened together.

b. Other Material. Medical reports, letters, and other claim forms should be placed in the case folder loose.

c. Summary Sheets. Each case must have a summary sheet.

(1) Non-Fatal Summary, Form CA-800. The information requested in the upper left corner of Form CA-800 is produced on a sticker during the case create process. The sticker is then placed on Form CA-800.

(a) When an employee suffers two or more injuries on the same date, a separate Form CA-800 must be prepared for each injury. (A separate case file is also made up for each injury. For doubling cases, see FECA PM 1-0500.6.)

(b) When Form CA-800A (Medical and Related Expenses) or CA-800B (Periodic Roll for FECA Death Cases) is needed, the M&F Clerk should enter just the employee's name and case number at the top. The Form CA-800A or 800B should be stapled to Form CA-800 or CA-105.

(2) Fatal Summary, Form CA-105. The information requested in the upper left corner of Form CA-105 is produced on a sticker as part of the case creation process. The sticker is then placed on Form CA-105.

1-0400-6 Creating Automated Cases

6. Creating Automated Cases. Case Create Clerks (CCCs) create new cases and add them to the automated system. The Case Management Users Manual (Option 01) describes how to create new cases.

a. Social Security Numbers (SSN). The database record for each case should contain the employee's SSN.

(1) When a new case (or an existing one just being added to the database) does not include the employee's

SSN, the CCC should try to obtain the SSN by letter or telephone. However, such an attempt is not needed if the case has been retired, or if it is clear that the employee has no

SSN (for example, the employee is a foreign national).

(2) A "dummy" SSN should be created if the actual SSN cannot be obtained or does not exist. The dummy SSN will consist of four 9's, the two-digit district office prefix, and a unique three-digit number. The triple terminal digits should be 000 for the first "dummy" SSN, 001 for the second "dummy" SSN, and so forth.

(3) District Offices approaching the terminal digits 999 should contact the National Office for instructions on creating SSNs beyond 9999XX999.

b. After Case Creation. When a batch of cases has been created, the following actions are taken:

(1) The CCC separates cases closed using adjudication code "C" from those to be sent to claims units. Cases closed with adjudication code "C" will remain in the file room. The CCC will note the next locations of cases to be sent to claims staff on the case jackets and key the cases to those locations.

(2) The Systems Manager (or designee) transmits newly created records to the central site. (Each new case record should appear on the local database the day after the case has been created.)

c. Form CA-801. When a case is created, a postcard (Form CA-801) is generated to advise the claimant and employing agency of the case file number and information on submitting correspondence to OWCP. If the case has been closed short form, the phrase "Limited Medical Only" will appear on the line immediately below the case number on the postcard to the agency. Postcards for all other cases will have a blank line immediately after the case number.

1-0400-7 Duplicate Cases

7. Duplicate Cases. The automated system checks for duplicate cases. However, duplicates may still be created due to human error. If this happens, the duplicate case should be deleted from the automated system, unless a bill has been paid on it.

The following steps should be taken after the duplicate record is deleted from the automated system:

a. Notation on Case Jacket. The M&F Clerk should:

(1) Write "Duplicate of 00-0000000" (number of other file) on the outside of the duplicate jacket;

(2) Draw a diagonal red line across the front of the duplicate Form CA-800, and writes "Duplicate of 00-0000000" in the upper right corner of this form; and

(3) Initial and date this statement.

b. Forms. The M&F Clerk should re-number Form CA-800 and all other forms in the upper right corner with the number of the case to be retained. These forms should then be attached to the inside front cover of the retained case.

c. Advising the Claimant. The M&F Clerk should advise the claimant by letter that the duplicate case was created in error and that only the number of the retained case should be used.

d. Bill Paid in Duplicate Case. If this occurs, a short memorandum explaining that bills have been paid in both cases should be prepared for the file, and the steps described above should be followed.

1-0400-8 Deleting Case File Records

8. Deleting Case File Records. Removing cases from the automated system leaves gaps in case numbering, which may create concern about the security of the records in the system. Also, if a no-time-lost injury develops into a lost-time injury after a case record is removed, a new case has to be created, and issuing a second number for the same injury may lead to confusion.

Therefore, a case record may not be deleted unless it is a duplicate of a previously-created case. District office staff must ensure that no lost time/no medical expense cases are not created (paragraph 3 above discusses these kinds of injuries).

The case deleted should usually be the one with the most recent "received" date. However, if all compensation and bill payments were made in the later case, the earlier case should be deleted.

Exhibit 1 1-0400 x1 Edit Criteria for Short Form Closure

CASE CREATE EDIT CRITERIA FOR "SHORT FORM" CLOSURE

All of the following must apply, based on the CMF data entered at the time of case create, for the claim to be closed short form:

The claim involves a traumatic injury

The claim was not controverted by the employing agency

The claim was created within six months of the injury

The claim does not involve a fatality

The claim does not involve a claim for wage loss compensation

The coded "source" of injury is not one of the following:

Radiation; Tobacco Smoke; Stress (Emotional); Vehicle; Privately Owned Vehicle (POV); POV As Driver; POV As Passenger; Government Owned Vehicle (GOV); GOV As Driver; GOV As Passenger; Common Carrier (Airplane, Bus, etc.); Aircraft (Not Commercial); Boat, Ship; Asbestos; Needle; Animal; Animal (Dog); Animal (Other); Human (Violence); Human (Communicable Disease); Bacteria, Virus

The coded "cause" of injury is not one of the following:

Railroad and Street Cars; Aircraft; Vehicle (Driver); Vehicle (Passenger); Vehicle (Pedestrian); Drowning; Violence; Accidental Shooting; Enemy Action; Dog Bites

The coded "nature" of injury is not one of the following:

Amputation; Traumatic Food Poisoning; Traumatic Tuberculosis; Traumatic Virological/Infective/Parasitic Diseases; Traumatic Cerebral Vascular Condition, Stroke; Traumatic Hearing Loss; Traumatic Heart Condition; Traumatic Mental Disorder, Stress, Nervous Condition

The employing agency is not one of the following:

Peace Corps Volunteers; VISTA Volunteers; Coast Guard Auxiliary

The case number prefix is not one of the following:

CC; CP; CW; EA; FH; LE; NY; RA; TC; WB; WC; WH; WP

-1-0500 - CASE MAINTENANCE

Table of Contents

1-0500-1 Purpose and Scope

1. Purpose and Scope. This chapter describes how to maintain case files. It addresses how to divide file contents, double cases, and repair damaged folders. It also discusses how to send case file contents out of the office and process them on return, (However, see FECA PM 1-0600 for loaning and transferring cases.) Finally, the chapter addresses adjustments to the database.

1-0500-2 Case Movement

2. Case Movement. Mail Room staff pick up outgoing cases from each unit at least once each day and bring them to the Mail Room, where they are sorted and moved to their next locations. Mail Room staff then deliver the cases to their next locations. All cases must be keyed to the proper specific location (as opposed to a general section location) before being moved.

1-0500-3 Filing Cases

3. Filing Cases. The file room contains closed cases (those needing no further action). Closed cases are retained until their transfer to the Federal Records Center in accordance with OWCP Records Disposal Schedule and GSA General Schedules (see FECA PM 1-0600). Open cases (those needing further action) may be housed either in the file room or in other locations throughout the district office (DO).

a. Method of Filing. Folders are kept in the File Room on open shelves. The M&F Clerk should observe the following:

(1) Folders are filed by triple terminal digit. Each digit has a distinct, brightly-colored background, allowing searchers to locate and shelve the folders with greater ease and accuracy. Folders are filed first by prefix, then by the last three digits of the claim number, then by the first three digits.

(2) Triple terminal digits often identify the claims unit to which the case is assigned. For example, in a DO with four claims units, Unit 1 would handle triple terminal digits 000-249, Unit 2 would handle 250-499, and so forth. However, in DOs which assign claims by geographical area, triple terminal digits do not identify the claims unit.

b. Criteria for Filing. Case folders should not be filed in the File Room unless:

(1) All locations have lines drawn through them, with initials and dates; and

(2) No loose mail appears in the folder, unless "drop file" is written on it, along with the initials of the person making the notation and the date of the notation;

c. Misfiled Cases. If a case keyed to the File Room cannot be located, the Mail and File (M&F) Clerk should first check the number on the database. If the number is correct, the M&F Clerk should do the following:

(1) Look in the files 10 triple terminal digits above and below the missing number, and at every number in between;

(2) Look at every file in the shelf within 12 inches or so of the missing number;

(3) Look under each prefix used in the office, one at a time, and look for the missing number without any prefix;

(4) Look in the files 100 triple terminal digits above and below the missing number, and at every number in between.

If the case cannot be located, a special search is required. If the special search is not successful, claims staff will need to reconstruct the file.

1-0500-4 Doubling Cases

4. Doubling Cases. When an employee sustains more than one injury, it may be necessary to combine all of the records into one case folder. The case records are kept separate but travel under one case number, which is known as the "master number." The subsidiary and master cases are cross-referenced in the DFEC database.

a. Case Type Code. Each case file is assigned a case type code, as follows:

I Independent (neither a master or subsidiary file)
M Master file (has at least one other file associated with it)
S Subsidiary file (has been associated with another file)

When cases are created and CASE615 is run, a CASE632 is also produced. This report shows all cases already existing for a claimant. Each page of the report should be placed in the corresponding newly created case file, just above the CA-1 or CA-2. If a case contains such a report, it must be sent to the responsible Claims Examiner (CE), even if it is a short-form closure case. The responsible CE may ask that the other cases listed on the report be pulled as well.

b. When and How to Double. The criteria for doubling are stated in FECA PM 2-0400.8. Cases may be identified for doubling through use of CASE632, New and Prior Injuries Report, or through review by CEs. When cases approved for doubling by a Supervisory Claims Examiner or other person designated by the District Director arrive in the Mail Room, the M&F Clerk should:

(1) Decide which case number should be the master number, using the following criteria:

(a) The master case file number should be the oldest (by file number) case in the DO.

(b) A case which has been closed and has had no medical payments for two years should not be the master case file.

(c) Cases recalled from the Federal Records Center should not be the master case file.

(c) Cases that already have a master number should not be undoubled and redoubled under another master case file number.

(2) Keep separate spindles for the cases, even though they are contained within the same jacket. The master file number should be written on the CA-800(s) of the subsidiary case(s).

(3) Spindle down the CA-800 for any inactive subsidiary case (that is, a case closed for over two years which was accepted for minor conditions, or a case closed "short form" over two years ago). All inactive subsidiary cases should be placed in the A part of the file.

(4) Write the full name of the claimant on the front of the folder with the master number. Underneath the name, list the numbers of all cases contained in the folder, with the master number first, the lowest case number next, then the next higher, and so forth. The name and numbers should be in the top center part of the folder. For example:

John C. Jones
ACT 00-101498
00-100928

00-100995

(3) Stamp the "Name, Date of Injury, and Filed Under" block on the inside back of the folders of the subsidiary cases; fill in the blanks with a pen; and place all of these folders in the files.

c. Updating Records. The Case Create Clerk must update the records for all subsidiary cases on the database so that any claim number keyed in will prompt the master number. [See the FECS Users Manual (Double/Duplicate, option 05).]

d. Retiring Records. When doubled cases are retired, both the master and all of the subsidiary case files must be retired.

1-0500-5 Dividing Cases

5. Dividing Cases. When the contents of a case file become too thick for the folder, they must be divided. Mail Room staff may decide to divide files on their own, or they may act on request of claims staff. The M&F Clerk should do the following:

a. Prepare a New Folder.

(1) Make up a duplicate folder with the same case number. Beside the number on one folder, write the letter "A"; on the other folder, write the letter "B".

(2) On the front of the folders, write "This case is divided into A and B parts."

b. Divide the Contents.

(1) Place all letters over five years old in the A part if possible. Otherwise, it may be necessary to divide the file again after two or three years.

(2) Place all correspondence received after the cutoff date between the A and B parts in the B part. Also place Form CA-1, CA-2, CA-5, or CA-5b in the B part, as well as the original Form CA-7.

If it becomes necessary to divide the case more than once, the third folder is labeled "AA", the fourth folder "AAA", etc. The B (active) part always contains the most recent documents.

1-0500-6 Repairing Cases

6. Repairing Cases. Case folders and their contents sometimes become worn or unreadable due to wear and tear. When this happens, Mail Room staff should repair the folders and contents (though at DO option, claims personnel may handle this task).

Where papers have torn loose from the spindle, the M&F Clerk should repair or strengthen the page with a gummed or self- adhesive reinforcement, or with transparent tape. If torn or damaged documents cannot be mended, and further damage may occur, the M&F Clerk should photocopy the documents so that the file will contain a readable copy.

1-0500-7 Location Changes

7. Location Changes. As cases are moved to different locations in the district office, their locations must be changed in the system as well. The Systems Manager in each district office keeps a list of location codes. Changes are keyed using FECS Case Management subsystem option 19.

a. Notations on Case Jacket. Before keying the change, the M&F Clerk should cross out the current location on the case jacket. When keying is completed, the M&F clerk should check off the "Keyed" space opposite the location code on the case jacket and place the folder in the proper pick-up area for routing to the next location.

b. Replacement Grid Sheets. When the jacket has been completely filled up and all lines have been crossed out, a gummed grid sheet with spaces to enter locations and statuses is to be placed on the cover of the case file.

c. Group Location Change. If many cases are to be sent to the same location at the same time, the keyer should use option 20, Multiple Location Change, to do so. It is useful to sort cases requiring only location changes by new location before keying.

1-0500-8 Cases Sent Out of the Office

8. Cases Sent Out of the Office. Case files are often mailed to medical specialists for review. Sometimes cases are hand-carried outside the DO for investigations or meetings.

a. Jacket and Summary Sheet. The case jacket and Form CA-800 or CA-105 should always remain in the DO. Doubled cases will contain more than one summary, and all of them should be retained. A copy of the letter to the recipient of the file should be kept in the folder to show where the contents were sent.

b. Mailing the Case. The case may be sent either by the designated express mail service or through the U.S. Postal Service (USPS). If the latter is used, the case should be sent by certified mail. An envelope with a business reply address label and return address should be furnished for the return of the file.

c. Hand-Carrying the Case. If the case is hand-carried, a memorandum should be placed in the folder showing who took the case and where and when it was taken.

d. Computer Location. The automated system should be updated to show that the case is out of the office.

e. Mail. If mail is received for a case with contents out, the folder should be sent with the mail to the proper unit for processing. The case should then be routed back to the "contents out" location.

1-0500-9 Adjustments to the Database

9. Adjustments to the Database. Changes to the Case Management File are sometimes needed due to errors in data entry or changes to the claimant's address, the employing agency's chargeback code, or the like.

Corrections to those data elements which are used to search the database are especially important. These elements include all name fields, date of injury, date of death, and Social Security Number (SSN).

All such changes should be sent to the Systems Manager (or other designated personnel). In particular, the Systems Manager (or a designee who does not have the authority to enter payments) will make or direct all changes to names and addresses.

1-0600 - TRANSFER, LOAN AND RETIREMENT OF CASES

Table of Contents

1-0600-1 Purpose and Scope

1. Purpose and Scope. This chapter describes how to send case files from one district office (DO) to another, or to the National Office (NO). The chapter also addresses how to retire closed cases to the Federal Records Center (FRC).

These procedures apply to all case files, whether permanently transferred or temporarily loaned. Mail and File staff process all case files to be transferred or loaned among the various offices of the OWCP and the FRC.

1-0600-2 Transfer of Case Files

2. Transfer of Case Files. Transfers occur mostly between DOs. Only the Assistant District Director (ADD) or higher-level authority may direct or allow transfer of a case from the DO. The criteria for transfers are outlined in FECA PM 2-0400.10a.

a. Initial Request. The requesting DO should complete items 1 through 9 of Form

CA-58, Case File Transfer (see Exhibit 1 (Link to Image)).

b. Action by Requesting DO. The requesting DO should send the original Form CA-58 to the sending DO and retain a copy for control purposes. The Form CA-33 or incoming mail which prompted the request for the file should be stapled to the copy of Form CA-58.

(1) On the copy of Form CA-58, the requesting DO should note the employee's or beneficiary's name and the word "mail." The copy is be retained until:

(a) The case file is received;

(b) The requesting DO is advised that the case file cannot be located; or

(c) The sending DO asks the requesting DO to forward the mail. (This is done when the sending DO has jurisdiction of the requested case, and the requesting DO is unaware of it).

(2) If the case file (or a reply to the request) is not received within 30 days, the requesting DO should prepare another Form CA-58. It should be marked "second request."

c. Action by Sending DO. When Form CA-58 is received, it should be placed with the unattached mail to be searched. The Form CA-58 should be handled as routine mail unless there is reason to handle it as priority mail.

(1) When the case file is located, the original Form CA-58 and any unattached mail or other case file material should be associated with it.

(2) The designated manager should review the file and ensure that any pending action (i.e., payment of bills, an adjustment of compensation, a response to a letter, or a decision on the case) is taken immediately. Transfer may then be authorized, and the file should be routed through the Systems Manager so that a printout of CMF information may be prepared and placed in the case folder.

(3) The M&F Clerk should prepare Form CA-1417 (or, at DO option, claims personnel may perform this task). The form should be sent to the employee or the beneficiary, with a copy to the employing agency if the employee is still on the agency's rolls. Copies of the letter must also be sent to other interested parties, such as the employee's representative or physician.

(4) When ADP staff transfer the file, the case location will change to "T--" (DO number). The file should be sent to the requesting DO by designated express mail service or through the U. S. Postal Service, using certified mail.

(5) ADP staff will transfer the CMF and ACPS records to the receiving DO.

(6) The Systems Manager or designee will transmit all case location records at a designated time, thereby advising the receiving office of incoming cases.

(7) If a file cannot be found, the sending DO should so notify the requesting DO on the original Form CA-58.

(8) When a DO sends a case file to another DO without first receiving a request, the sending DO should complete only one copy of Form CA-58 and follow the same steps for transferring the case as stated above.

d. Form CA-67, Case File Transmittal Sheet.

(1) The sending DO should prepare four copies of Form CA-67. This form shows the names of the sending and receiving DOs, and the names and case numbers of transferred files. Form CA-67 is numbered consecutively by calendar year in a series for each DO to which cases are sent. Copies of the form are distributed as follows:

(a) The original and one copy are attached to the case file being transferred; and

(b) One copy is retained for the sending DO's records.

(2) The requesting DO should receive an original and one copy of Form CA-67 with the case files requested. The cases listed on Form CA-67 are checked against the cases received. If correct, item 7 should be initialed and dated. Any changes needed should be noted the form. The form is then returned to the sending DO.

(3) The sending DO should keep the receipted copy of Form CA-67 and discard the previously retained copy.

1-0600-3 Loans of Case File

3. Loans of Case Files. Loans occur mostly between the DOs and the NO, though they may

occur between DOs as well. Only the Assistant District Director (ADD) or higher-level authority may direct or allow loan of a case.

a. Reasons for Request by NO. The NO may request cases for action by the Employees' Compensation Appeals Board (ECAB), the Branch of Hearings and Review (H&R), the Director of OWCP, the Director for FEC, or other OWCP staff.

b. Initial Request. The requesting DO or the NO should complete Form CA-58 and proceed as described in paragraph 2b above. (However, cases for the ECAB and H&R are requested by computer report.) If no Form CA-58 has been completed, the sending DO should complete it, using Item 9 to show the destination of the case within the NO.

c. Action by Sending DO. Cases requested by the NO should receive priority handling. The sending DO should proceed as stated in paragraph 2c above, except that:

(1) It is not necessary to notify the claimant of the loan.

(2) Cases loaned to the NO should be mailed to:

Branch of Hearings and Review
200 Constitution Avenue N.W.
Room N-4421
Washington, D. C. 20210.

Use of this address will ensure that the cases are routed through the NO database. The name of the person requesting the file should be shown.

d. Form CA-67. The sending DO should prepare four copies of Form CA-67. In the column titled "Reason for Transfer", the word "loan" should be entered, and the name of the person requesting the file should be shown. Copies of the form are distributed as described in paragraph 2d above.

e. Returning Loaned Cases. To return a loaned case, Mail and File staff should complete items 11a, 11b and 11c of Form CA-58. The Systems Manager should note in Item 12 when the electronic records are returned. The ADD should complete items 13a and 13b, and the file may then be mailed.

1-0600-4 Retiring Cases to the FRC

4. Retiring Cases to the FRC. Cases that have been closed and have not been reopened are retired to the FRC as necessary to ensure that space is available for active cases. (However, the DO should retain hearing loss and asbestosis cases to minimize FRC storage costs, as these cases will more likely need to be recalled at a later date for further action.)

The OWCP Records Disposal Schedules describe the time periods for which case files must be held and the responsibility for their disposition.

a. Screening Cases. Cases appearing on the Time Lost and No Time Lost Reports should be pulled from the file room and taken to a staging area for review. ADP staff process cases eligible for retirement or destruction and return ineligible cases to Mail and File staff to be reshelved.

b. Doubled Cases. When doubled cases are retired, both the master and all of the subsidiary case files must be retired.

c. Contacting the FRC. Before retiring cases, the DO should ensure that enough cases are available to meet its records center's minimum requirements for assignment of an accession number. The DO should also verify with the National Archives and Record Administration (NARA) that its records center has enough space available to accept the cases.

d. Electronic Processing. NARA offers electronic processing of reference requests to agencies storing records at a regional records services facility or the Washington National Records Center. This system speeds service by eliminating the delivery of reference requests via the postal service or courier, and negative replies due to wrong center locations. This service may be accessed on the Internet at www.nara.gov/regional/cips.html.

e. Status and Location Codes. Cases to be retired should be given the case status code of "RT", and cases awaiting destruction should be given the case status code of "XX". When keying is complete, DO staff should box the cases leaving one-half inch of dead space to allow for retrieval of individual files. DO staff should also follow the usual procedures for physical destruction of cases. The Systems Manager (or designee) will transmit location/status changes at the designated time of the workday.

f. Recalling Cases From FRC. The DO will contact the FRC with a request to retrieve cases, providing the case number, name, and accession number for each case. Retrieved cases will be recalled electronically from Central. The status will be the one in effect when the case was retired.

Exhibit 1 1-0600 x1 Case File Transfer Form CA-58 (Link to Image)